

**BROAD BASED SOLICITATION 2000 FOR
SUBMISSION OF FINANCIAL ASSISTANCE
APPLICATIONS INVOLVING RESEARCH,
DEVELOPMENT AND DEMONSTRATION
DE-PS36-00GO10482**



**THE OFFICE OF ENERGY EFFICIENCY AND
RENEWABLE ENERGY**

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All information regarding this solicitation is available on the Department of Energy Golden Field Office web site at: <http://www.eren.doe.gov/golden/solicitations.html>

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BROAD BASED SOLICITATION 2000 FOR SUBMISSION OF FINANCIAL ASSISTANCE APPLICATIONS INVOLVING RESEARCH, DEVELOPMENT AND DEMONSTRATION TO THE OFFICE OF ENERGY EFFICIENCY AND RENEWABLE ENERGY

I. INTRODUCTION

This Broad Based Solicitation expresses the Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy's (EERE), continuing interest in receiving Applications for Grants and Cooperative Agreements supporting renewable energy and energy efficiency basic research, applied research, cooperative demonstrations, and related activities. The Broad Based Solicitation will consist of two parts: this document is the first part which establishes guidelines and requirements for submitting Applications; the second part will consist of individual Supplemental Announcements and will be specific to designated technology areas of interest. These individual Supplemental Announcements will contain technology specific information, anticipated programmatic funding levels, eligibility requirements, evaluation criteria, any cost sharing requirements, application deadlines, and any other requirements specific to obtaining Financial Assistance under individual Supplemental Announcements to this Broad Based Solicitation.

The Broad Based Solicitation, consisting of this document and all Supplemental Announcements, will be posted on the DOE Golden Field Office Home Page at <http://www.eren.doe.gov/golden/solicitations.html>.

II. GENERAL INFORMATION

A. Notice of Supplemental Announcements

The intention of DOE is to issue Supplemental Announcements to this document throughout the year. Each Supplemental Announcement will be posted on the Golden Field Office Home Page. A notice to release Supplemental Announcements will be published in the Federal Register and, if appropriate, in the Commerce Business Daily or other publications.

B. Questions

All questions concerning this document must be submitted in writing to: Ruth E. Adams, DOE Golden Field Office, 1617 Cole Boulevard, Golden, CO 80401-3393 or transmitted via facsimile to Ruth E. Adams at (303) 275-4788, or electronically to ruth_adams@nrel.gov. Responses to questions will be made by Amendment to the Solicitation and posted on the DOE Golden Field Office Home Page.

C. Award Instrument

It is DOE's intention to make Financial Assistance Awards to successful Applicant(s). The specific instrument type (Grant or Cooperative Agreement) will be specified in each of the Supplemental Announcements.

A sample Financial Assistance Agreement may be obtained at the Golden Field Office Home Page at <http://www.eren.doe.gov/golden/awarddocs.html>. Appropriate intellectual property provisions will be negotiated and incorporated in any resulting agreement as determined by the Applicant's status (small business, large business, non-profit, etc.) and the particular project.

If an Application is submitted by a Consortium, or other business arrangement with more than one Participant, the Participants must structure themselves (e.g., prime Recipient with Subawardees or establish a separate legal entity) such that DOE can issue the award to a single legal entity who will be accountable to the terms of the agreement. Applications submitted by Federally Funded Research and Development Centers (FFRDCs), as defined by Federal Acquisition Regulation (FAR) 35.017, will not be considered for award. Negotiation, award, and administration will be in accordance with DOE Financial Assistance Rules (10 CFR Part 600). A copy of 10 CFR 600 may be obtained electronically through the Golden Field Office Home Page at <http://www.eren.doe.gov/golden/paf.html>.

D. Cost Sharing

In-kind contributions (e.g., contributions of services or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs), incurred as part of this project may be considered as all or part of the cost share as described under 10 CFR Part 600, Sections 600.123 and 600.224. All Participant cost sharing must come from non-Federal sources (i.e., private, state or local Government, or any other sources that were not originally derived from Federal funds). The percent of minimum acceptable cost share will be specified in each Supplemental Announcement.

E. Catalog of Federal Domestic Assistance (CFDA) Number

The CFDA number will be provided in Supplemental Announcements to this document and used for completion of Block 10 of the Application for Federal Assistance, Standard Form (SF) 424. Executive Order 12372, which requires review of certain Financial Assistance Applications by States, may apply to a specific Supplemental Announcement. Each Applicant should contact its state office of Federal programs to determine if the order will apply.

F. EPAct Eligibility Requirements

Section 2306 of the Energy Policy Act (EPAct), Public Law 102-486 establishes eligibility requirements for companies to participate in Financial Assistance programs covered under Titles XX through XXIII of the EPAct. The applicability of EPAct eligibility requirements will be specified in each Supplemental Announcement.

All for-profit business entities other than an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) shall complete Form GO-PF21, EPAct Certification, in order for DOE to make this determination. Based on the information provided, a determination by DOE that the EPAct eligibility requirements are met shall be made prior to making an Award. Additional information may be required for determination of eligibility prior to award. An award cannot be made if the Applicant does not meet the eligibility requirements of the EPAct Section 2306.

It should be noted that none of the information contained within the eligibility statement will be considered when evaluating the merit of the Application as set forth herein.

In accordance with Section 2306 of the EPAct, Public Law 102-486, 42 U.S.C. 13525, the Participants of a successful Application will be eligible to receive financial assistance only if:

- 1) participation in the project would be in the economic interest of the United States, as evidenced by:
 - a) investments in the United States in research, development, and manufacturing (including for example, the manufacture of major components or subassemblies in the United States);
 - b) significant contributions to employment in the United States; and
 - c) an agreement with respect to any technology arising from assistance provided under this section to promote the manufacture within the United States of products resulting from that technology (taking into account the goals of promoting the competitiveness of United States industry), and to procure parts and materials from competitive suppliers;

AND

- 2) the Applicant is either:
 - a) a United States-owned company or entity; or
 - b) incorporated in the United States and has a parent company which is incorporated in a country which affords to United States-owned companies or entities: (1) opportunities, comparable to those afforded to any other company or entity, to participate in any joint venture similar to those authorized under this Act; (2) local investment opportunities comparable to those afforded to any other company or entity; and (3) adequate and effective protection for the intellectual property rights of the United States-owned companies or entities.

G. Sub-Awards to Debarred and Suspended Parties

Applicants and Participants, at any tier, must not make any subaward or permit any subaward to any party which is debarred, suspended, or is otherwise excluded from or ineligible for participation in Federal Assistance programs under Executive Order 12549, "Debarment and Suspension" or is otherwise ineligible hereunder. The list of parties excluded from Federal procurement and nonprocurement programs can be accessed through the Excluded Parties List System (EPLS) at <http://epls.arnet.gov>.

H. Financial Assistance for Application Preparation

No funding will be available under the DOE Minority Economic Impact (MEI) loan program for preparation of Applications in response to Solicitations. DOE assumes no responsibility for any costs associated with Application preparation or submission of Applications if an Award is not made. If an Award is made, such costs may be allowable as provided in the applicable cost principles.

I. National Environmental Policy Act (NEPA) Requirements

All Applicants shall complete an Environmental Checklist, GO-EF1. The Environmental Checklist is a series of questions designed to gather information in the following general areas as related to the proposed project: chemicals, waste generation, emissions, permitting, natural resources and any unique or controversial issues. The requested information will be used by DOE to evaluate any potential impacts (positive and negative) on the environment and be of enough detail for the Department to meet its requirements under NEPA in its selection of Applications for negotiation of Award.

Applicants are restricted from taking any irreversible action prior to DOE reaching a final NEPA decision regarding the proposed project. Irreversible actions include demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. This restriction, however, does not preclude the Applicant from developing plans, preliminary designs, or performing other necessary support work prior to DOE reaching its final NEPA decision, provided the work has been authorized by DOE.

J. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those with a primary focus on information dissemination, public outreach, training, and related technical analysis and technical assistance activities (see www.pr.doe.gov/solicit.html for a broad-based solicitation encompassing those activities).

K. Lobbying Restrictions

Funding for activities under this Solicitation will be provided from either the Energy & Water Development Appropriations Act, or the Department of Interior & Related Agencies Appropriations Act. The following provisions apply, respectively:

Lobbying Restriction (Energy & Water Development Appropriations Act)

The awardee agrees that none of the funds obligated on this award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to members of Congress as described in 18 U.S.C. 1912. This restriction is in addition to those prescribed elsewhere in statute and regulation.

Lobbying Restriction (Department of Interior & Related Agencies Appropriations Act)

The awardee agrees that none of the funds obligated on this award shall be made available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete. This restriction is in addition to those prescribed elsewhere in statute and regulation.

L. Notice Regarding Purchase of American-Made Equipment and Products -- Sense of Congress

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

If the funding for the Solicitation is under the Department of Interior & Related Agencies Appropriations Act, the following provision applies:

In accepting an award, the recipient agrees to comply with sections 2 through 4 of the Act of March 3, 1933 (41 U.S.C. 10a - 10c, popularly known as the "Buy American Act"). The recipient should review the provisions of the Act to ensure that expenditures made under the award are in accordance with it.

III. APPLICATION PREPARATION INSTRUCTIONS

A. General Instructions

A detailed Statement of Work (SOW), schedule, cost estimate, and completed Application forms shall be included in the Application. The Applicant must show the capability to perform the work by identifying relevant experience, technical and business qualifications and facilities. Qualifications of any proposed Subawardees in the project should be identified and included. Applications shall exclude material not essential to a proper evaluation of the Application.

Applications shall be submitted in two separate volumes which are distinctly marked as follows:

Volume I - Technical Volume

Volume II - Business Volume

To aid in the evaluation, Applications shall be clearly and concisely written, as well as being neat, indexed and logically assembled. The Applications shall be typed in a minimum of 10 point font on single-sided 8.5" x 11" paper. Illustrations and foldouts should, in general, be no more than 11" x 17" in size. All pages of each volume shall be appropriately numbered (including foldouts), and each Volume shall contain the name of the Applicant, point of contact including telephone and facsimile number, electronic mail address, the date, the Solicitation number, and the Supplemental Announcement title and number. To facilitate orderly and expedient review of the Applications, the format prescribed by this document should be followed.

B. Proprietary Application Information

Applications submitted in response to a Solicitation may contain trade secrets and/or privileged or confidential commercial or financial information which the Applicant does not want used or disclosed for any purpose other than evaluation of the Application. The use and disclosure of such data may be restricted provided the Applicant marks the cover sheet of the Application with the following legend, specifying the pages of the Application which are to be restricted in accordance with the conditions of the legend:

"The data contained in pages _____ of this Application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this Applicant receives an award as a result of or in connection with the submission of this Application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the Applicant."

Further, to protect such data, each page containing such data shall be specifically identified and marked, including each line or paragraph containing the data to be protected with the legend similar to the following:

"Use or disclosure of the data set forth above is subject to the restriction on the cover page of this Application."

It should be noted, however, that the data bearing the aforementioned legend may be subject to release under the provisions of the Freedom of Information Act (FOIA), if DOE or a court determines that the material so marked is not exempt under the FOIA. The Government assumes no liability for disclosure or use of unmarked data and may use such data for any purpose.

Applicants are hereby notified that DOE intends to make all Applications submitted available to non-Government personnel for the sole purpose of assisting the DOE in its evaluation of the Applications. These individuals will be required to protect the confidentiality of any specifically identified proprietary information obtained as a result of their participation in the evaluation.

C. Volume I - Technical Volume

Volume I shall be submitted in an original plus five copies. The original Application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through 6. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the Application. However, additional copies would be appreciated to expedite the evaluation process.

Volume I shall consist of:

- Cover Page
- Table of Contents
- Technical Summary
- Technical Proposal
- Statement of Work
- Attachments
- Personnel Resumes

1. Cover Page

The name, signature, title, address, phone number, facsimile, and electronic mail address of an authorized representative of the Applicant(s), the name and type of

organization, the Solicitation number, and the Supplemental Announcement title and number must appear on the cover page of the original and all copies of Volume I of the Application.

2. Table of Contents

Volume I shall include a table of contents and page numbers corresponding to the elements outlined in these guidelines. Certain sections of Volume I shall be limited to a maximum number of pages specified below and in individual Supplemental Announcements.

3. Technical Summary

A one-page technical summary describing, in general terms, the proposed project must be prepared and submitted with the Application. Applicants must also provide an explanation of the proposed project benefits from DOE funding. The summary should be informative and contain information which is releasable to the public.

4. Technical Proposal Structure

The Technical Proposal shall be structured in accordance with the criteria and requirements specified in the Supplemental Announcement. The page limit for the Technical Proposal will be specified in individual Supplemental Announcements.

5. Statement of Work

The Statement of Work shall provide a task-oriented description of activities which are responsive to the technical requirements of the Supplemental Announcement. The page limit will be specified in individual Supplemental Announcements.

6. Attachments

Attachments may be required to supplement the Technical Proposal. Requirements for attachments, if any, and page limits will be specified in individual Supplemental Announcements.

7. Personnel Resumes

A resume should be provided for all key personnel. Each resume must be limited to two pages.

D. Volume II- Business Volume

Volume II shall be submitted in an original plus three copies. The original Application (i.e., original signature) shall be identified as "Original" (No. 1) and the remaining copies shall be consecutively numbered 2 through 4. In accordance with 10 CFR Part 600.210(b)(2), State and Local Government Applicants are required to submit an original and two (2) copies of the Application. However, additional copies would be appreciated to expedite the evaluation process.

1. Cover Page

The name, signature, title, address, phone number, facsimile, and electronic mail address of an authorized representative of the Applicant(s), the name and type of organization, and the Solicitation number, and Supplemental Announcement title and number must appear on the cover page of all copies of Volume II of the Application.

2. Table of Contents

Volume II shall be divided into three parts (Budget, Financial Information, and Certifications and Other Required Forms) and include a table of contents and page numbers corresponding to the elements outlined in these guidelines. All forms can be obtained from the DOE Golden Field Office Home Page at <http://www.eren.doe.gov/golden/applicationdocs.html>. No page limit is imposed for Volume II.

Volume II shall consist of:

- a) Cover Page
- b) Table of Contents
- c) "Application for Federal Assistance" (SF 424) (Must be executed by authorized official.)
- d) Part One: Budget
 - d.1 "Federal Assistance Budget Information" (DOE F 4600.4)
 - d.2 "Budget Explanation Page for DOE Form 4600.4" (GO-PF20)
 - d.3 Budget Summary By SOW Task
 - d.4 Rate Agreement or Proposal for Rate Agreement
 - d.5 Cost Sharing
- e) Part Two: Financial Information
 - e.1 Annual Financial Statements
 - e.2 Financial Management System
- f) Part Three: Certifications and Other Required Forms

3. Part One: Budget

Accurate, complete, and documented estimates addressing the cost to perform the work set forth in the Statement of Work shall be submitted. The Budget shall be outlined and supported in accordance with the following instructions:

- a) A summary of all cost data shall be submitted on DOE Form 4600.4, "Federal Assistance Budget Information." The costs should include the requested DOE funding and any cost share.
- b) The information on Form 4600.4 must be supported by detailed information provided through the completion of "Budget Explanation Page for DOE Form 4600.4", GO-PF20. Schedules may be appended as required to fully detail the project costs. If cost escalation factors are used in determining cost estimates, these factors shall be clearly defined and justified. Costs for each Participant shall be summarized on a separate supplementary Budget Explanation Page and totalled on the Applicant's Budget Information Form, under Item f, Contractual. Fee or profit is prohibited for the entity receiving a financial assistance award.
- c) Provide a budget summary by task as indicated in the Statement of Work. All costs (labor, equipment, consultants, etc.) shall be allocated to each task so that the total equals the estimated cost under (a) above.
- d) If your organization has a rate agreement in effect with a Federal agency, or if such an agreement is pending, please submit a copy of the agreement, or the proposed rates and a Federal point of contact with the Application. If your organization does not have a rate agreement or one is not pending, please submit a supported indirect rate proposal with your Application.
- e) Identify the percentage level and source of cost sharing for the proposed project. Firm funding commitments are expected and documentation of those commitments must be included in the Application. Additionally, the impact of DOE's cost share to the viability of the project must be addressed, to include justification for the need for Federal funds.

NOTE: The total project cost (i.e., sum of Applicant and other Participants plus DOE cost shares) must be reflected in each completed Budget Explanation Form.

A detailed estimate of the cash value (basis of and the nature, e.g., equipment, labor, facilities, cash, etc.) of all contributions to the project by each Participant must be provided. Note that "cost sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part

of the project may be considered as all or part of the cost share. The "cost sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, and OMB Circular A-110.

Foregone fee or profit by the Applicant shall not be considered cost sharing under any resulting Award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127 for the respective Participants.

4. Part Two: Financial Information

Financial data must be provided on the Applicant and any Participant(s) providing a source of cost sharing or performing work. The Financial Information shall be outlined and supported in accordance with the following instructions:

- a) Annual financial statements (balance sheet and income and expense statement) for the past year shall be attached for Participants providing cost sharing and/or performing work (Subawardee, etc.). Where available, financial statements prepared by certified public accountants should be submitted.
- b) In order to qualify for a financial assistance award, the Applicant must demonstrate a financial management system that satisfies 10 CFR 600.121 by describing its ability to comply.

5. Part Three: Certifications and Other Required Forms

All of the following forms, which can be found at <http://www.eren.doe.gov/golden/applicationdocs.html>, must be completed and submitted with the Application:

- a) The "Financial Assistance Pre-Award Information Sheet" (GO-PF19)
- b) The "U.S. DOE Assurance of Compliance" (Form DOE F 1600.5)
- c) The "Grantee Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements" (FA-CERTS)
- d) The "Disclosure of Lobbying Activities" (SF-LLL) (To be submitted even if no lobbying is certified.)
- e) The "Environmental Checklist" (GO-EF1)

- f) The "Energy Policy Act (EPA) Certification" (GO-PF21) (Each Supplemental Announcement will specify whether EPA applies.)

IV. EVALUATION OF APPLICATIONS

A. Initial Review

An initial review will be performed to check the Application package for completeness, its relevance to the EERE program and its responsiveness to the technical requirements of the solicitation. If a demonstrated effort to complete all forms is in evidence, but a minimal number of required forms has been omitted, the applicant shall be contacted to provide those omitted forms.

B. Minimum Qualifications

Minimum qualifications include meeting any cost sharing requirement, EPA eligibility requirements, and other eligibility requirements, if any, as provided in each Supplemental Announcement. Applicants whose Applications clearly do not meet the minimum requirements will be notified that they are ineligible for award.

C. Comprehensive Evaluation

Objective merit review of Applications will be performed in accordance with 10 CFR Part 600.13 and implemented by the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy in procedures published in the Federal Register on May 19, 1998. In evaluating Applications, DOE reserves the right to use any assistance deemed advisable, in accordance with applicable regulations, including qualified personnel from other Federal agencies, other Government entities, universities, industry, and DOE contractors. These individuals will be required to protect the confidentiality of any specifically identified trade secrets and/or privileged or confidential commercial or financial information obtained as a result of their participation in this evaluation. Information contained in the Applications shall be treated in accordance with the policies and procedures set forth in 10 CFR Part 600.15. Submission of an Application constitutes consent to the use of outside evaluators.

DOE reserves the right to support all, none, or certain parts of the Application(s) submitted in response to a Solicitation. All Applicants will be notified in writing of the action taken on their Applications. Applicants should allow at least 90 days for DOE's evaluation. The status of any Application during the evaluation and selection process will not be discussed with Applicants. Unsuccessful Applications will not be returned to the Applicant.

D. Evaluation Criteria

1. Application Evaluation Criteria

All timely Applications that fulfill the minimum Application requirements, as determined under the initial screening, will be eligible for comprehensive evaluation. The weights or point scale for the criteria to be applied to Volume I will be specified in each Supplemental Announcements. Volume II (Business Volume) will not be point scored.

2. Volume I - Technical Volume

The factors which will be considered in the evaluation will be provided in the Supplemental Announcements.

3. Volume II - Business Volume

The Business Volume will be evaluated but will not be point scored. The Business Volume will be rated Adequate, Marginal, or Inadequate. The Business Volume rating will be considered by the Selection Official in selecting Applications for negotiation of award. The following is a listing of the factors which will be considered in evaluation:

Part One: Budget

- Comprehensiveness and adequacy of budget justification and supporting information.
- Nature (equipment, labor, facilities, cash, etc.) and amount of cost sharing proposed, including the method of calculating the value of any in-kind contributions, is reasonable.
- Evidence of secure funding commitments.

Part Two: Financial Information

- Adequacy of available resources, past performance records and experience, and financial capabilities/position of the team.
- Compliance with 10 CFR 600.121 requirements. Specific requirements of 10 CFR 600 can be accessed through the DOE Golden Field Office Home Page at <http://www.eren.doe.gov/golden/paf.html>.

E. Program Policy Factors

After the technical and business evaluations are completed for all competing Applications, DOE intends to apply Program Policy Factors. The purpose of considering these factors is to maximize the effective use of available Government funding. These factors will be considered by the Selection Official to insure that the program, as a whole, meets the goals of the issuing Program Office and is consistent with the EERE's mission. The factors to be considered by the Selection Official shall be provided in the Supplemental Announcements with the exception of the results of the business evaluation which is addressed herein.

In making the selection decision, the apparent advantages of individual technical Applications will be weighed against evaluated probable cost to the Government (including cost sharing) to determine whether the technical superiority of more costly Applications is worth the additional cost over other less technically superior Applications. As a result of this technical/cost trade-off assessment, evaluated probable cost to the Government may be used in conjunction with other Program Policy Factors by the Selection Official in selecting Applications for negotiation of award.

V. ADDITIONAL INFORMATION

DOE may require Applications to be clarified or supplemented to the extent considered necessary, either through additional written submissions or oral presentations; however, the Award may be made solely on the information contained in the initial Application.

Appendix A - Definitions

"Applicant" means the legal entity or individual signing the Application. This entity or individual signing may be one organization or a single entity representing a group of organizations (such as a consortium) that have chosen to submit a single Application in response to a solicitation.

"Application" means the documentation submitted in response to a solicitation.

"Award" means the written documentation executed by a DOE Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing financial assistance to the applicant.

"Awardee" means the organization, individual, or other entity which receives a Financial Assistance award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

"Broad Based Solicitation 2000 for Submission of Financial Assistance Applications for Research, Development and Demonstration (Broad Based Solicitation)" refers to Solicitation Number DE-PS36-00GO10482, which requests the submission of Applications for Financial Assistance support over a range of EERE research, development and demonstration activities. The Solicitation consists of two parts: this document is the first part which establishes both guidelines and requirements for submitting Applications; the second part will consist of individual Supplemental Announcements specific to designated technology areas of interest.

"Budget" means the cost expenditure plan submitted in the Application, including both the DOE contribution and the applicant cost share.

"Budget Period" means an interval of time, specified in the award, into which a project is divided for budgeting purposes.

"Consortium (plural consortia)" means the group of organizations or individuals that have chosen to complete and submit a single Application in response to a solicitation.

"Contracting Officer" means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-program aspects of the financial assistance process.

"Cooperative Agreement" means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the applicant during the performance of the contemplated activity.

"Cost Sharing" means the respective share of total project costs required to be contributed by the Applicant and by DOE. The required percentage of applicant cost share is to be applied to the total project cost (i.e., the sum of Applicant plus DOE cost shares) rather than to the DOE contribution alone.

"Financial Assistance" means the transfer of money or property to an applicant or participant to accomplish a public purpose of support authorized by Federal statute through grants or cooperative agreements and subawards. In DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

"Grant" means a financial assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the applicant during the performance of the contemplated activity.

"Key Personnel" means the individuals who will have significant roles in planning and implementation of the proposed project on the part of the Applicant.

"Participant" means any entity substantially involved in a consortium, or other business arrangement (including Subawardees), responding to a solicitation.

"Project" means the set of activities described in an Application, State plan, or other document that is approved by DOE for financial assistance (whether such financial assistance represents all or only a portion of the support necessary to carry out those activities).

"Project Period" means the total period of time indicated in an award during which DOE expects to provide support contingent upon satisfactory progress and available funds. A project period may consist of one or more budget periods and may be extended by DOE.

"Recipient" means the organization, individual, or other entity which receives a Financial Assistance award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

"Selection" means the determination by the DOE Selection Official that negotiations take place for certain projects with the intent of awarding a Financial Assistance instrument.

"Selection Official" means the DOE official designated to select Applications for negotiation of award under a subject solicitation.

"Subawardee" means any group of organizations or individuals that have or will have a contractual relationship with the Applicant for the performance of work under the proposed project.

"Substantial Involvement" means involvement on the part of the government. DOE's involvement may include: shared responsibility for the performance of the project; providing technical assistance or guidance which the Applicant is required to follow; and the right to intervene in the conduct or performance of the project. Such involvement will be negotiated with each Applicant prior to signing any agreement.

"Supplemental Announcement" refers to the second part of the Broad Based Solicitation, Number DE-PS36-00GO10482, which will contain technology specific information, anticipated programmatic funding levels, eligibility requirements, evaluation criteria, any cost sharing requirements and application deadlines.

"Total Project Cost" means all the funds required to complete the effort proposed by the Applicant, including DOE funds plus all other funds that will be committed by the Applicant as cost sharing.